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ABSTRACT

External funding can provide a valuable means of enabling an institution to augment the growth and quality of its regular program. Because the institutional benefits of special projects can be maintained only through a reasonable degree of central administration and control, Chemeketa Community College has developed this guidebook of procedures to be followed by personnel applying for or receiving externally funded grants. This guidebook covers the origination of ideas, the identification of funding sources, the development of a prospectus to be submitted to the Chemeketa Project Development Coordinator for preliminary approval, the review of college priorities, the development of a full-scale proposal, submission of this proposal to funding sources, approval or disapproval procedures, project monitoring, and project closure. The roles of all college personnel involved in the application procedure are carefully delineated, and a list of possible funding sources is appended. (NRM)

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## GRANTS POLICY

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Staff Support Services

September 8, 1975

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ADMINISTRATION OF EXTERNALLY-FUNDED PROJECTS AT  
CHEMEKETA COMMUNITY COLLEGE

**I. General Philosophy**

The general purpose of acquiring funds from external sources is to augment the growth and the quality of the regular program of Chemeketa Community College.

Each faculty member, administrator, or student naturally desires to contribute to the growth and quality of the College. Unfortunately, it takes more than interest and desire to achieve that extra measure of quality. It also takes money. Many projects need release time, laboratory equipment, additional staff, computer time, supplies, and other facilities that cannot be obtained with the College's limited resources, and require outside financial support. To obtain this support, a sponsor must be found, a grant application must be completed, a grant must be reviewed internally to assess its impact on the College; it must be submitted according to required format and deadlines, and if funded, the project must be conducted in such a way as to reflect favorably on the College, and enhance its possibility of continued funding.

On top of an already-crowded schedule of activities, the pursuit of external funding may seem like more trouble than it is worth. But if there is widespread reluctance to complete the work necessary and take the inevitable risks, the College as a whole will be seriously restricted in its ability to innovate. The belief that external grants distort the priorities of the institution can undercut the flexibility of the College. Administrators are often worried about the overcommitment of funds and staff to projects which cannot be supported later by internal College funds.

The ultimate result of these attitudes may be the loss of flexibility which external funds can provide. There are other, hidden, consequences which can be more serious. A college which is "afraid" of external grants becomes known as a conservative, unimaginative institution. Those grants which are received are administered in a haphazard, "ad hoc" manner. This in turn can lead to potentially serious problems of overexpenditure, misappropriation, or breach of grant contract.

The inherent problems of external funding can be avoided if the central purpose of such funding is kept in mind: to augment the growth and quality of the regular program of the institution. This purpose can be achieved if several principles are established in the policies of the College:

- a. Everyone in the College shares responsibility for augmenting the growth and quality of College programs through external funding.
- b. The institutional benefit of special projects can be maintained only through a reasonable degree of central administration and control.
- c. Every idea that is translated to a funding proposal should be reviewed carefully to determine its consistency with the long-range goals of the College.
- d. It is preferable to anticipate the needs of the College, and seek support to meet these needs, rather than to seek funds simply because they are available.
- e. Much wasted effort can be avoided by giving careful attention to the political realities which surround every grant application.
- f. The College has an obligation to carefully evaluate the results of every externally funded project, to determine whether the activities or ideas should be incorporated in the regular College

program.

- g. Applicants should never face disincentives to external funding (such as being transferred from "hard" money to "soft" money.) Over time, the College should develop the capability of rewarding those who acquire external funding by providing release time and other forms of support.

These concepts are relatively easy to establish as policy, but difficult to carry out in practice. An orderly procedure, clearly understood by all who participate in the external funding process, is an essential adjunct.

## II. Procedures for Developing and Administering Grants

The Origination of an Idea -- A project can come from any source, and no one section of the College should be considered as a more legitimate source of ideas than another. Ideas will be generated by faculty members, administrators, students, and in some cases, the agencies which are disbursing the funds. Community groups, state and municipal agencies, or businesses might express some need which can be translated into a College activity. No matter how unusual an idea seems at first glance, it should be given consideration. Competition for federal and foundation funds has increased in recent years, but these agencies continually receive -- and fund -- very ordinary proposals. Chemeketa has the intellectual resources to produce excellent proposals. Even in financial hard times, money is available for truly good ideas.

Identification of Funding Sources -- All potential sources -- including the College's general fund -- should be considered for supporting new ideas. The Project Development Coordinator in the President's Office will maintain a complete and up-to-date record of governmental and foundation sources. These sources, along with pertinent deadlines, will be distributed regularly in newsletter form to the college community. Everyone at the College, however, should assume responsibility for searching out new sources of funds, cultivating contacts, and bringing this information to the attention of the Project Development Coordinator. The federal government has attempted to decentralize its operations through "revenue sharing" over the past few years; the College staff should therefore be mindful of new funding sources which are appearing at regional, state, and local levels.

Development of a Prospectus -- When a funding source has been identified, it is the primary responsibility of the idea originator to develop a sound proposal which meets the requirements of the funding agency. The first step in developing a proposal is a prospectus submitted on a form supplied by the Project Development Coordinator, which clearly states the project objectives and the problem that the proposal is designed to solve. The prospectus will also contain skeletal information about project activities, budgets, and schedules. The prospectus will be used by the Project Development Coordinator to evaluate the concept in relation to other activities and goals of Chemeketa Community College. In the long run, much time and energy will be saved if every applicant completes a prospectus prior to development of a full scale proposal.

Review of College Priorities -- There are many factors which naturally affect the urgency of any given application: the number of dollars available, the time and interest of the applicant, the closeness of submission deadlines, etc. The most difficult task which faces College administrators is to keep these factors from diverting attention from the long-range goals of the College. It will therefore be necessary for the Project Development Coordinator (with the assistance of those advising him) to establish priorities among the various prospectuses submitted. The review of prospectuses will be regularly reported to the President and the Advisory Council. The Advisory Council (i.e. the Deans) will receive reports on project ideas as information items only, and will not take action on proposals until they have reached the final stages of preparation. Every person who submits a prospectus will be notified of its

notified of its priority after it has been submitted.

Development of a Full Scale Proposal -- In general, the applicant should assume responsibility for doing the research on the problem statement of the proposal, developing project objectives, describing the activities of the project, and constructing a budget. The role of the Project Development Coordinator will be to provide backup data, to expand the narrative sections where necessary, to make sure that all technical requirements are met, and to put the proposal in final edited form. All proposals should be submitted to the President's Office (i.e., to the Project Development Coordinator) prior to submitting to the funding agency. The development of a "final" draft is a mutual responsibility of the applicant and the Project Development Coordinator; no proposal should be submitted to the rest of the College staff or the funding source unless it is satisfactory to both parties. Likewise, no project budget should be considered finished until it has been reviewed by the Project Officer in the Business Office. Special attention should be given to the indirect-cost policies of the College, which will be explained to applicants after each prospectus has received a priority ranking. Applicants should also submit their budgets in a format which is consistent with the accounting procedures of the College, in addition to the format required by the funding source.

Sign-off Procedures -- Once a proposal has reached its final form, it will be reviewed and initialed by the following parties:

- a. The Director of the cluster or division in which the project activities will take place.
- b. The Dean of the division which is sponsoring the project.
- c. The Dean of any other division which might be involved (or other persons responsible in assisting the project).

- d. The Dean of Administrative Services.
- e. The Presidents Advisory Council.
- f. The Project Development Coordinator
- g. The President.

The author or sponsor of a proposal will be responsible for obtaining approval up to the level of the Dean of the division where the project will be taking place. Thereafter, it will be the responsibility of the Project Development Coordinator to obtain approval signatures. In cases where urgent deadlines must be met, the President may, at his discretion, short-circuit this sign-off procedure, or delegate it to another administrator. Summaries of all applications will be presented by the President to the Chemeketa Board of Education on a regular basis, in order to keep the Board informed of authorization requests which will be made in the event that applications are approved.

The Submittal of the Application -- Obtaining the final signatures and mailing the application will be the responsibility of the Project Development Coordinator. Thereafter, all contacts with the funding agency should be through the Project Development Coordinator, or made with his full participation and knowledge. In no case should an applicant "lobby" for his proposal without the expressed approval and knowledge of the Project Development Coordinator.

Approval or Disapproval -- When a funding agency has made a decision regarding a grant or contract, the Project Development Coordinator or the President should be the first ones to know. (If an administrator, faculty member, or other applicant receives notice of approval directly from the funding source, the Project Development

Coordinator should be contacted immediately. In no case should a project be initiated without informing the President through the Project Development Coordinator.) The applicant will then be contacted with one of the following types of messages:

- a. "Your proposal has been disapproved for the following reasons . . . The next submission deadline is . . . In the estimation of the Project Development Coordinator, your chances of approval at the next deadline is . . . You might try submitting your proposal to the following alternative agencies . . . "
- b. "Your proposal has been tentatively approved, contingent on changes in the budget, schedule, activities, design (etc.). The Project Development Coordinator recommends the following changes . . . The applicant should respond to these changes by . . . The applicant (should) (should not) participate in negotiations with the funding agency."
- c. "The proposal has been approved as submitted. It will now be submitted to the Chemeketa Board of Education for authorization to receive and expend funds. After this authorization is received, you will be required to submit interim reports on the following dates . . . The fiscal administrative procedures for your project are as follows . . . The final report should be submitted for review by the Project Development Coordinator and Support Services group no later than . . ."

Project Monitoring -- The entire College community would be adversely affected by sloppy or unethical administration of an externally-funded

project. Therefore, no project, no matter how small or generally well regarded, will be exempted from systematic evaluation by the Project Development Coordinator, the affected Deans, or the President. Each project will have a specific person designated as director, and in most cases, this person will report regularly to his/her Dean on the progress of the project. Expenditure patterns will be reviewed monthly by the Dean of Administrative Services and the Project Development Coordinator. This review is not intended to stifle the creativity or flexibility of a project. On the contrary, a cooperative relationship and full understanding of the project activities will enhance the impact of the project, and will enable the persons responsible for it to make "mid-course corrections" with a minimum of concern. In general, the criteria established in the application will be used to evaluate the progress and accomplishments of each externally funded project.

Maintenance of Departmental Effort -- It will be contrary to the policy of the College for any departmental budget to be revised in such a way as to reduce the incentive of the persons who successfully sought external funding. Grants from outside sources should augment, rather than supplant, the regular programs of the College. Faculty members who invest their own time in developing applications should be rewarded with greater fiscal and program flexibility, and a reasonable amount of control over the activities planned in the project.

Project Closure -- The final stages of a project have critical importance for its overall quality. In the closing phases of the

project, the fiscal obligations are met, and overexpenditures and underexpenditures are avoided. The project evaluation is also completed, and this can have a strong impact on the funding source, the College staff, and the wider community. If results of the project are impressive, funding may be increased by the agency in the next cycle. It is also possible that the procedures developed in a project may be incorporated in the regular College program, using general funds support. Truly noteworthy projects will be covered by the local press, copied by other community colleges, and described in national journals. The most important reason for giving special attention to the evaluation and closure of projects, however, is the sense of craftsmanship and contribution that it will bring to those who participated in the project. The Project Development Coordinator will assist not only in meeting the technical requirements of closure, but in assuring that the qualities of the project are known and have a positive impact on the College as a whole.

III. Review of Roles and Policies

1. The purpose of the Project Development Program is to augment the long-range objectives of the College, and to improve the quality of service to students and the community.
2. The role of applicants is to develop ideas; assist in searching for funding sources; identify project objectives, activities, budget schedule, and design. If a project is funded, the applicants will submit interim and final reports; conduct competent evaluations; meet contractual obligations and expend budgeted funds.
3. The role of the Project Development Coordinator is to collect and generate project ideas; disseminate information on funding sources; review with the Project Advisory Committee all prospectuses; report proposal activities to the President and his Advisory Council; assist in the development of the final draft of proposals; conduct sign-off procedures; submit applications and maintain contact with the funding agencies; participate, if necessary, in negotiations on final budget or activities; notify applicants of decisions and relevant reporting dates; systematically review project expenditures and evaluations; assist in the closure of projects and the dissemination of results.
4. The role of the Staff Support Services is to review prospectuses and final proposals to determine their impact on the total College program. The Staff Support group will be responsible for establishing the sequence and priorities of applications prior to the appointment of the Projects Advisory Committee.

5. The role of the Dean of the division sponsoring the project is to assist applicants in the development of project ideas; review proposal abstracts and drafts; sign-off on final applications; if projects are funded, monitor activities and expenditure patterns; maintain support for general-fund activities which augment the project; if projects are successful, consider means of incorporating project activities in the regular College program.
6. The role of the Dean of Administrative Services is to review proposal prospectuses; assess the budgetary impact on the College; assist applicants in developing project budgets; establish procedures for estimating indirect costs; sign-off on all final applications; advise the project director on requisition and budgeting procedures; maintain a monthly expenditure record of all projects; assist applicants in closing procedures; and maintain project files for audit purposes.
7. The role of the President and the Advisory Council is to sign-off on final applications; inform the Project Development Coordinator and his Advisory Committee on priorities, directions, and needs of the College; assess the impact of applications or projects on the long-range growth of the College; determine which externally funded activity should be incorporated in the College program; and disseminate the results of successful projects to appropriate audiences.
8. The role of the Community College Board is to advise the President and his staff on long-range directions and needs of the College,

and review applications submitted by the College. When applicants are approved by funding agencies, the Board will decide whether to grant authorization to receive and expend funds.

**IV. Conclusion**

Every effort should be made to coordinate the submission of grant applications with the procedures established by the College. The system is set up as a benefit to the applicant and not as a bureaucratic obstacle. To submit the application with indifference to the established channels would be embarrassing to the applicant, the College, and those who hope to participate in the project. It would be disappointing, of course, if the grant were not funded. Even more disappointing, to say the least, would be to receive the funds, only to find that the conditions (financial, space, or time) were such that it was impossible to pursue the project. The full cooperation of the entire College community will be needed to avoid such disappointment.

CHEMEKETA COMMUNITY COLLEGE  
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 Salem, Oregon 97308

## PROSPECTUS FOR EXTERNAL GRANTS

Initiator \_\_\_\_\_ Phone \_\_\_\_\_

Division or Cluster \_\_\_\_\_

Possible Funding Source (if known) \_\_\_\_\_

Proposed Dates of Project: \_\_\_\_\_ Proposal Deadline(s) if known \_\_\_\_\_

FROM: \_\_\_\_\_

TO: \_\_\_\_\_

BRIEF TITLE	
PROBLEM OR NEED ADDRESSED BY PROJECT	
OBJECTIVES OR MAJOR OUTCOMES	
PROJECT ACTIVITIES (RELATED TO OBJECTIVES)	

To receive more information or submit forms, contact Dr. John C. Rude, Bldg. 40, Extension 5125.

STAFFING PATTERN			
EVALUATION PROCEDURES			
	COLLEGE SHARE	GRANT SHARE	TOTAL
Salaries & Wages			
Fringe Benefits			
Travel			
Supplies			
Postage/Phone			
Printing/Repro.			
Contractual Svcs.			
Other Direct Costs			
Indirect Costs (8%)			
<b>TOTAL</b>			
PROPOSED USE OF COLLEGE FACILITIES			
OTHER SIGNIFICANT FACTORS			

SIGNED \_\_\_\_\_ DATE \_\_\_\_\_

(Office Use)

1. Priority Rank

2. Action Taken

Submitted: \_\_\_\_\_

\*To receive more information or submit forms,  
contact Dr. John C. Rude, Building 40,  
Extension 5125.

Date: \_\_\_\_\_

### POTENTIAL SOURCES OF FUNDING

**Note:** This is a brief "checklist of possible sources; some sources may be committed for the current year, others could be considered "difficult" -- but still possible. To obtain more complete and current information, contact the Coordinator of Project Development, in Building 40, Extension 5125.

#### I. Local Sources

Mid-Willamette Valley Manpower Consortium  
Community Development Funds at Banks

Local Committees:

- Bicentennial Commission
- Arts Commission
- Humanities Foundation

#### II. State Sources

Educational Coordinating Commission

Title I - Continuing Education and Community Services

Title IV - Instructional Equipment

Oregon Mathematics Education Council

State Department of Education

##### 1. Vocational Education

- Adult (upgrading, retraining, apprenticeship)
- Guidance and Placement
- Leadership Development
- Interdisciplinary
- Disadvantaged
- Handicapped
- Consumer/Homemaking
- Cooperative Work Experience
- Technical Assistance
- Curriculum
- Personnel Development
- Research and Evaluation
- Construction

##### 2. Adult and Adult Basic (through Community Services Division)

Oregon Arts Commission

Oregon Committee for the Humanities

American Revolution Bicentennial - Commission of Oregon

Department of Economic Development

Law Enforcement Council

State Scholarship Commission

Department of Human Resources (Training Contracts)

- Children's Services Division
- Corrections Division
- Employment Division
- Health Division
- Mental Health Division
- Public Welfare Division
- Vocational Rehabilitation Division
- Special Programs (Aging, Econ. Opp., Volunteers)

III. Federal Sources

Community Education  
Bilingual Vocational Training  
Refugee Assistance Program  
Training for Teachers of Handicapped  
Teacher Corps  
Fund for the Improvement of Postsecondary Education  
Cooperative Education  
Community Service and Continuing Education (Discretionary)  
National Direct Student Loans  
Low-Interest Loans in Postsecondary Institutions  
Basic Education Opportunity Grants  
Supplemental Education Opportunity Grants  
College Work Study  
Special Services for Disadvantaged  
Upward Bound -- Talent Search  
Noncommercial Educational Broadcast Facilities  
College Library  
Foreign Curriculum Consultants  
Group Projects Abroad  
Teacher Exchange Program (Individuals)  
Environmental Education  
Special Projects -- Nurse Training  
Guaranteed Loans and Interest -- Nursing  
Student Nurse Scholarships  
Health Professions Capitation Grants  
Maternal and Child Health Training  
Allied Health Small Grant Program  
Continuing Education in Mental Health  
Experimental Mental Health Training  
New Careers Training  
Metropolitan Mental Health Problems  
Drug Abuse Education Projects  
Alcohol Abuse and Alcoholism  
Mental Health of Children and Families  
Studies of Crime and Delinquency  
Research and Development in Aging  
Career Training in Aging  
Industry-based Vocational Rehabilitation  
Special Rehabilitation Projects  
Programs for Developmentally Disabled  
Facilities for Mentally Retarded  
Preventive Services for Youth

Training for Work with Delinquent Youth  
Educational Leave for Public Welfare Personnel  
Public Welfare Research and Demonstration  
Social Security Cash Benefits  
Head Start Child Development Centers  
Child Welfare Research and Demonstration  
Civil Defense -- Research and Development  
Basic and Applied Forestry Research  
Technical Assistance -- Economic Development  
Environmental Sciences Research  
Comprehensive Employment and Training Act  
Career Development for Indians  
Adult Education for Indians  
Vocational Training for Indians  
Water Resources Research  
Citizenship Education  
Law Enforcement Education Program  
Importation of Educational, Cultural and Scientific Materials  
Used Nuclear Equipment Programs  
Grants and Loans of Nuclear Materials  
Environmental Research, Development and Demonstration  
Special Programs and Projects in the Arts  
Special Programs and Projects in the Humanities  
Science Instruction Materials Development  
College Faculty Workshops (Science)  
Education Program Re-structuring (Science)  
Experimental Programs in Education (Science)  
Student-originated Projects (Science)  
Research Applied to National Needs  
University Year for Action  
Retired Senior Volunteer Program  
Non-grant Assistance Programs -- Smithsonian  
Smithsonian Institution -- Foreign Currency  
Intergovernmental Personnel Assignment

IV. Foundations

Oregon Community Foundation  
Hill Family Foundation  
Exxon Education Foundation  
Ford Motor Company Fund  
General Motors Corporation  
Shell Companies Foundation  
United States Steel Foundation, Inc.  
Cummins Engine Foundation  
Lilly Endowment, Inc.  
Rockefeller Foundation  
W. K. Kellogg Foundation  
Alfred P. Sloan Foundation  
Danforth Foundation  
Cleveland Foundation

(numerous others)

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